

#2

jc997 U.S. PTO
10/084859
02/27/02

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of Melissa W. Dunn
Serial No. To Be Assigned
Filed February 27, 2002
For: SYSTEM AND METHOD FOR CONTROLLING AUTHORIZATION TO ACCESS
USER-SPECIFIC INFORMATION
Confirmation No. To Be Assigned
Attorney Docket No. MS# 180490.1 (MSFT 4969)

February 27, 2002

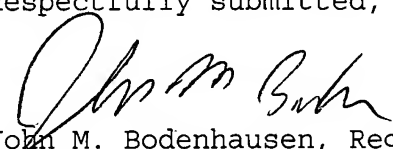
INFORMATION DISCLOSURE STATEMENT

TO THE COMMISSIONER OF PATENTS AND TRADEMARKS,
WASHINGTON, D.C. 20231

SIR/MADAM:

Applicant submits herewith, in accordance with 37 C.F.R.
1.97 and 1.98 and MPEP 609, and in compliance with the duty of
* disclosure set forth in 37 C.F.R. 1.56, the attached PTO Form
1449 (modified) for consideration by the Patent and Trademark
Office in the above-entitled application (which is being filed
simultaneously herewith) and to be made of record herein.

Respectfully submitted,


John M. Bodenhausen, Reg. No. 47,432
SENNIGER, POWERS, LEAVITT & ROEDEL
One Metropolitan Square, 16th Floor
St. Louis, MO 63102
(314) 231-5400

Express Mail No. EL 890665184 US

PTO/SB/08A INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Complete if Known	
				Application Number	To Be Assigned
				Filing Date	February 27, 2002
				Confirmation Number	To Be Assigned
				First Named Inventor	Melissa W. Dunn
				Group Art Unit	To Be Assigned
				Examiner Name	To Be Assigned
				Attorney Docket No.	MS180490.1 (MSFT 4969)

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	
		Number	Kind Code ² (if known)			
	1	5,889,952		Heath Hunnicutt, et al.	03-30-1999	
	2	5,941,947		Ross M. Brown, et al.	08-24-1999	
	3	5,999,711		Pradyumna K. Misra, et al.	12-07-1999	
	4	6,260,148	B1	Sudhanshu M. Aggarwal, et al.	07-10-2001	
	5	6,308,173	B1	Daniel S. Glasser, et al.	10-23-2001	
FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	T ⁶
		Office	Number ⁴			
OTHER ART - NON PATENT LITERATURE DOCUMENTS						
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, page(s), volume-issue number(s), publisher, city and/or country where published.				T ⁶

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, D.C. 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:** Assistant Commissioner for Patents, Washington, D.C. 20231.

PTO/SB/08A INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Complete if Known	
				Application Number	To Be Assigned
				Filing Date	February 27, 2002
				Confirmation Number	To Be Assigned
				First Named Inventor	Melissa W. Dunn
				Group Art Unit	To Be Assigned
				Examiner Name	To Be Assigned
Sheet	2	of	3	Attorney Docket No.	MS180490.1 (MSFT 4969)

6	<i>The Role of Graph Model and Conflict of Interest, ACM Transactions on Information and System Security, Vol. 2, No. 1, February 1999, pgs. 3-33 by Matunda Nyanchama and Sylvia Osborn</i>	
7	<i>The ARBAC97 Model for Role-Based Administration of Roles, ACM Transactions on Information and System Security, Vol. 2, No. 1, February 1999, pgs. 105-135 by Ravi Sandhu, Venkata Bhamidipati and Qamar Munawer</i>	
8	<i>Configuring Role-Based Access Control to Enforce Mandatory and Discretionary Access Control Policies, ACM Transactions on Information and System Security, Vol. 3, No. 2, May 2000, pgs. 85-106 by Sylvia Osborn, Ravi Sandhu and Qamar Munawer</i>	
9	<i>Role-Based Authorization Constraints Specification, ACM Transactions on Information and System Security, Vol. 3, No. 4, November 2000, pgs. 207-226 by Gail-Joon Ahn and Ravi Sandhu</i>	
10	<i>Why UDDI Will Succeed, Quietly: Two Factors Push Web Services Forward, The Stencil Scope, 7 pgs., April 2001 by Brent Sleeper</i>	
11	<i>The YGuard Access Control Model: Set-Based Access Control, SACMAT'01, May 3-4, 2001, pgs. 75-84 by Ty van den Akker, Quinn O. Snell and Mark J. Clement (ACM Press - ISBN 1-58113-350)</i>	
12	<i>Fine Grained Access Control for SOAP E-Services, WWW10, May 1-5, 2001, pgs. 504-513 by Ernesto Damiani, Sabrina DeCapitani di Vimercati, Stefano Paraboschi, and Pierangela Samarati (ACM Press - ISBN 1-58113-348)</i>	
13	<i>Web Services: High Stakes Amid the Hype, The Washington Post, October 18, 2001, 4 pgs. by Leslie Walker</i>	
14	<i>W3C Translations - XML in 10 Points, available at www.w3.org/XML/1999/XML-in-10-points, Copyright 1999-2000, 4 pgs., by Bert Bos</i>	
15	<i>W3C Initiative - P3P and Privacy on the Web FAQ, available at www.w3.org/P3P/p3pfaq.html, last revised June 22, 2001, 11 pgs</i>	
16	<i>W3C Initiative - P3P 1.0: A New Standard in Online Privacy, available at www.w3.org/P3P/brochure.html, Copyright 1997-2000, 6 pgs</i>	

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached, or place an "A" if English language abstract is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, D.C. 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, D.C. 20231.

PTO/SB/08A INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Complete if Known	
				Application Number	To Be Assigned
				Filing Date	February 27, 2002
				Confirmation Number	To Be Assigned
				First Named Inventor	Melissa W. Dunn
				Group Art Unit	To Be Assigned
				Examiner Name	To Be Assigned
Sheet	3	of	3	Attorney Docket No.	MS180490.1 (MSFT 4969)

	17	W3C - A P3P Preference Exchange Language 1.0 (APPEL 1.0) - W3C Working Draft 26 February 2001, available at www.w3.org/TR/P3P-preferences.html , 50 pgs, by Lorrie Cranor, Marc Langheinrich, and Massimo Marchiori	
	18	Web Services Routing Protocol (WS-Routing), dated October 23, 2001, available at http://msdn.microsoft.com/library/en-us/dnglobspec/html/ws-routing.asp , by Henrik F. Nielsen and Satish Thatte	

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached, or place an "A" if English language abstract is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, D.C. 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, D.C. 20231.